UNITED STATES PATENT AND TRADEMARK OFFICE

(Case No. 01-381)

In The Application Of:
Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

Title Automated Execution System Having Participation

PATENTAL PROPERTY OF THE PATENT AND TRADEMARK OFFICE

(Case No. 01-381)

Trade (Case No. 01-381)

Filed: June 29, 2001

Group Art Unit:

TRANSMITTAL LETTER

Box Missing Parts Commissioner for Patents Washington, D.C. 20231

Sir:

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MAR 2 6 2002

In regard to the above identified application:

Technology Center 2100

- 1. We are transmitting herewith the attached:
 - a. A Copy of Notice To File Missing Parts;
 - b. Response to Notice to File Missing Parts;
 - c. Executed Copy of Oath of Declaration; and
 - d. Return Receipt Postcard.
- 2. With respect to additional fees:
 - Check in the amount of \$130.00.
- 3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490. A duplicate copy of this sheet is enclosed.
- 4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on this 19th day of October, 2001.

Respectfully submitted,

Mark W. Triplett

Reg. No. 49,002

McDONNELL BOEHNEN HULBERT & BERGHOFF 300 SOUTH WACKER DRIVE CHICAGO, ILLINOIS 80806 TELEPHONE (312) 913-0001



PATENT THE UNITED STATES PATENT AND TRADEMARK OFFICE (Case No. 01-381)

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| In the Application of: | |) | |
|--|-----------------|--------|-----------------|
| | Schmitz, et al. |) | Examiner: |
| Serial No. | 09/896,061 |) | |
| Filed: | June 29, 2001 |)) | Group Art Unit: |
| For: Automated Execution System Having Participation | | j | |

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RESPONSE TO NOTICE TO FILE MISSING PARTS

MAILED AUGUST 21, 2001 MAR 2 6 2002

Technology Center 2100

Box Missing Parts Commissioner for Patents Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts of Application, mailed August 21, 2001, Applicants submit herewith an executed copy of their Declaration, pursuant to 37 C.F.R. §§1.63 and 1.68.

A check in the amount of \$130.00 accompanies this Response.

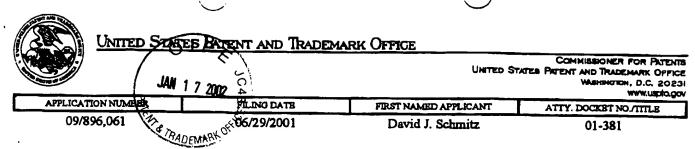
Respectfully submitted,

McDonnell Boehnen Hulbert & Berghoff

Date: October 19, 2001

Bv:

Mark W. Triplett Reg. No. 49,002



Mark W. Triplett
McDonnell Boehnen Hulbert & Berghoff
300 S. Wacker Drive, 32nd Floor
Chicago, IL 60606

Date Mailed: 10/17/2001

COVER LETTER FOR RESENDING CORRESPONDENCE

A courtesy copy of the Notice mailed on 08/21/2001 is enclosed. The time period for reply continues to run from the mail date of that Notice.

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Best Available Copy

A copy of this notice MUST be returned with the reply.

United States PATENT AND TRADEMARK OFFICE

Paul Ollion

COMMISSIONER FOR PATENTS

UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
WWW.USDID.gov

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/896,061

T& TRADENT 06/29/2001

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JAN 1 7 2002

David J. Schmitz

01-381

CONFIRMATION NO. 9465

FORMALITIES LETTER

McDonnell Boehnen Hulbert & Berghoff 300 S. Wacker Drive, 32nd Floor

Chicago, IL 60606

Mark W. Triplett

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(I) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

Customer Service Center

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Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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Best Action of Commit